



Receipt
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kevin W. Carley et al.

Serial No.: 09/549,236

Filed: April 13, 2000

Title: ERROR AND LOAD SUMMARY
REPORTING IN A HEALTH CARE
SOLUTION ENVIRONMENT

Group Art Unit: 3626

Examiner: Robert W. Morgan

Docket No.: 60021-340501

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Customer Service Center
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P.O. Box 1450
Alexandria, VA 22313-1450

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Debra J. Bruck
Debra J. Bruck

3-1-07
Date

REQUEST FOR CORRECTED FILING RECEIPT

Dear Sir:

Applicant filed a Response to Office Action on March 10, 2003, that amended the title to read ERROR AND LOAD SUMMARY REPORTING IN A HEALTH CARE SOLUTION ENVIRONMENT, however a request for corrected filing receipt was not done at that time. Enclosed for your records are copies of the Response to Office Action along with the Return Post Card date stamped by the USPTO on March 23, 2003.

Please correct the title and send us a corrected filing receipt. Attached for your reference, is a copy of a red-lined Filing Receipt showing the amended patent application title.

The Commissioner is authorized to charge any fees associated with this filing to Deposit Account No. 50-1901 (Reference No. 60021-340501).

Respectfully submitted,

By:

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UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/549,236	04/13/2000	2771	820	AND1P405	20	18	3

23053
HICKMAN STEPHENS COLEMAN & HUGHES, LLP
PO BOX 52037
PALO ALTO, CA 94303

FILING RECEIPT



OC000000005450255

Date Mailed: 10/04/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

Applicant(s)

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REC'D OCT 11 2000

Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 05/18/2000

Title

~~SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR ERROR AND LOAD~~
SUMMARY REPORTING IN A HEALTH CARE SOLUTION ENVIRONMENT

Preliminary Class

707

Data entry by : MASON, JAMES

Team : OIPE

Date: 10/04/2000



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Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
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THE STAMP OF THE U.S. PATENT AND TRADEMARK OFFICE HEREON
ACKNOWLEDGES RECEIPT OF THE FOLLOWING:

U.S. PATENT APPLICATION SERIAL NO.: 09/549,236

Our Ref No.: 60021-340501

Applicant(s): Carley et al.

Filed/Issued: April 13, 2000

For: "System, Method and Article of Manufacturing for Error and Load
Summary Reporting in a Health Care Solution Environment"

Enclosed: ☒ Transmittal;
☒ Petition for Two Month Extension of Time;
☒ Response to Office Action; and
☒ Return Postcard.

Date: March 10, 2003 */yjh*

Initials: MKB/dbr

SV/284395.01
03102003/16:43/60021.340501

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THE STAMP OF THE U.S. PATENT AND TRADEMARK OFFICE HEREON
ACKNOWLEDGES RECEIPT OF THE FOLLOWING:

U.S. PATENT APPLICATION SERIAL NO.: 09/549,236

Our Ref No.: 60021-340501

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Date: March 10, 2003

Initials: MKB/dbr

SV/284395.01
03102003/16:43/60021.340501



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:

Carley et al.

Serial No.: 09/549,236

Filed: April 13, 2000

For: **SYSTEM, METHOD AND ARTICLE OF
MANUFACTURE FOR ERROR AND LOAD
SUMMARY REPORTING IN A HEALTH
CARE SOLUTION ENVIRONMENT**

Examiner: Robert W. Morgan

Art Unit: 3626

Atty. Docket #: 60021-340501

CERTIFICATE OF MAILING

I hereby certify under 37 CFR § 1.8
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March 10, 2003 by



Donna B. Rose

Commissioner of Patents & Trademarks
Washington, D.C. 20231

RESPONSE TO OFFICE ACTION

Sir:

This paper is responsive to the Office Action dated October 8, 2002. Please amend the application (as shown in the attached "Version with Markings to Show Changes Made"), without prejudice, as follows and consider the subsequent remarks:

IN THE SPECIFICATION:

Please amend the specification as follows:

On page 1, line 1, please amend the title to read:

ERROR AND LOAD SUMMARY REPORTING IN A HEALTH CARE SOLUTION
ENVIRONMENT

On page 8, line 3 please amend as follows:

A system, method and computer program are provided for generating error and summary reports for a data load. A plurality of records to be loaded in a database are received. The records may include medical records. A data management template corresponding to the records is chosen. It is verified that all records to be loaded match the data management template. All or matching records are sent to a database for loading in the database upon validation that the records match the data management template. A report of records that match the data management template and records that do not match the data management template is compiled.

On page 8, line 23, please insert the following paragraph:

In an further aspect of the present invention, a system, method, and computer program for generating error and summary reports for a data load, while storing user input data files in a multi-tier client/server architecture, are provided. A connection between multiple user stations and a server having a database is maintained. A plurality of user input data files is received from one of the user stations, including a plurality of user-selected keywords, wherein data contained within the user input data files is organized around the keywords. A data management template is selected corresponding to the keywords. All data to be loaded into the database are validated to match the data management template. The validated data is loaded into the database and a report identifying data that match the data management template and data that do not match the data management template is compiled.

IN THE CLAIMS

Please add claims 19 - 33 as follows:

19. (New) A method for generating error and summary reports for a data load, while storing user input data files in a multi-tier client/server architecture, comprising the steps of:
- (a) maintaining a connection between multiple user stations and a server having a database;
 - (b) receiving from one of the user stations a plurality of user input data files;
 - (c) receiving a plurality of user-selected keywords, wherein data contained within said user input data files is organized around the keywords;
 - (d) selecting a data management template corresponding to the keywords;
 - (e) validating that all data to be loaded into the database match the data management template;
 - (f) loading the validated data into the database; and,
 - (g) compiling a report identifying data that match the data management template and data that do not match the data management template.
20. (New) A method as recited in claim 19, wherein no data are loaded into the database if any of the data does not match the data management template.
21. (New) A method as recited in claim 19, wherein the user input data files are medical files.
22. (New) A method as recited in claim 19, further comprising the steps of separating data that match the data management template from data that do not match the data management template, and sending the data that do not match the data management template to the user station.
23. (New) A method as recited in claim 19, further comprising the step of sending a notification upon detecting a concurrently executing load process.

24. (New) A system for generating error and summary reports for a data load, while storing user input data files in a multi-tier client/server architecture, comprising:

- (a) logic that maintains a connection between multiple user stations and a server having a database;
- (b) logic that receives from one of the user stations a plurality of user input data files;
- (c) logic that receives a plurality of user-selected keywords, wherein data contained within said user input data files are organized around the keywords;
- (d) logic that selects a data management template corresponding to the keywords;
- (e) logic that validates that all data to be loaded into the database matches the data management template;
- (f) logic that loads the validated data into the database; and,
- (g) logic that compiles a report identifying data that match the data management template and data that do not match the data management template.

25. (New) A system as recited in claim 24, wherein no data are loaded into the database if any of the data does not match the data management template.

26. (New) A system as recited in claim 24, wherein the user input data files are medical files.

27. (New) A system as recited in claim 24, further comprising logic that separates data that match the data management template from data that do not match the data management template, and sends the data that do not match the data management template to the user station.

28. (New) A system as recited in claim 24, further comprising logic that sends a notification upon detecting a concurrently executing load process.

29. (New) A computer program embodied on a computer readable medium for generating error and summary reports for a data load, while storing user input data files in a multi-tier client/server architecture, comprising:

- (a) a code segment that maintains a connection between multiple user stations and a server having a database;
- (b) a code segment that receives from one of the user stations a plurality of user input data files;
- (c) a code segment that receives a plurality of user-selected keywords, wherein data contained within said user input data files are organized around the keywords;
- (d) a code segment that selects a data management template corresponding to the keywords;
- (e) a code segment that validates that all data to be loaded into the database matches the data management template;
- (f) a code segment that loads the validated data into the database; and,
- (g) a code segment that compiles a report identifying data that match the data management template and data that do not match the data management template.

30. (New) A computer program embodied on a computer readable medium as recited in claim 29, wherein no data are loaded into the database if any of the data does not match the data management template.

31. (New) A computer program embodied on a computer readable medium as recited in claim 29, wherein the user input data files are medical files.

32. (New) A computer program embodied on a computer readable medium as recited in claim 29, further comprising a code segment that separates data that match the data management template from data that do not match the data management template, and sends the data that do not match the data management template to the user station.

33. (New) A computer program embodied on a computer readable medium as recited in claim 29, further comprising a code segment that sends a notification upon detecting a concurrently executing load process.

IN THE ABSTRACT:

Please change the title to:

ERROR AND LOAD SUMMARY REPORTING IN A HEALTH CARE SOLUTION
ENVIRONMENT

REMARKS

Claims 1-33 are pending in the application. Claims 1-18 have been variously rejected under 35 U.S.C. §§ 103. Claims 19-33 have herein been added and are fully supported by the specification. The Summary and Title of the specification have been amended to clarify the scope of the invention. No new matter has been added to the prosecution of this application. For the reasons stated below, Applicants assert that all claims are now in condition for allowance.

35 U.S.C. § 103 Rejections

Claims 1-18 have been rejected under 35 U.S.C. § 103 as being unpatentable over Buchanan et al. (US Patent 5,267,155) in view of Edwards et al. (US Patent 5,410,551) and further in view of Dauerer et al. (US Patent 5,469,576). Applicants respectfully traverse these rejections. MPEP 2143 provides in part, "To establish a prima facie case of obviousness...the prior art reference...must teach or suggest all the claim limitations." (emphasis added). Because the cited references alone or in combination fail to teach or suggest all of the claim limitations, Applicants respectfully request that the §103 rejections be withdrawn.

Cited Art:

Edwards et al. (US 5,410,155), hereinafter Edwards, discloses verifying a proper interconnection of an interconnect network, by introducing a transitory test signal at a first node of a network within a system under test. A search is made of all other system nodes for responsive transitions. A comparison is made between the addresses of nodes where transitions are observed within a predetermined time span and the addresses of nodes where transitions are expected. The predetermined time span is adjusted to detect missing or miswired line-conditioning components. The invention is directed to a method and apparatus for determining whether proper interconnections are made between the components of an electronic system.

Buchanan et al. (US Patent 5,267,155), hereinafter Buchanan, discloses a document generation system for enhancing or replacing the dictation and transcription process. More particularly, a computer-based documentation system is provided which processes document templates in conjunction with pre-defined character strings to generate user-defined reports or documents. Each document template is composed of "boiler plate" text and "holes". A system and method are described for controlling, via a relational database, the selection of pre-defined character

strings to be inserted into document template "holes". A second method is described for inserting user-defined or concatenated character strings into selected document template "holes".

Dauerer et al. (US Patent 5,469,576), hereinafter Dauerer, discloses an improved file access controller for a data processing system, and a method for the use thereof, and more particularly, an improved front end system for a file access control system. The referenced improvement is particularly useful for security audits and system maintenance of the file access controller. The improvement comprises an apparatus and method for retrieving data describing authorized users which is stored within the file access controller, acquiring data describing users which is obtained from at least one other file system, comparing and sorting user data retrieved from the controller with user data obtained from the other file system so as to detect any mismatched data, resolving at least a portion of any mismatches by updating user data from the controller with data obtained from the other file system, combining the matched data and updated data and recording the combined data within the file access controller, and reporting any detected mismatched and non-updated data describing users.

Cited Art Distinguished:

With respect to claims 1, 7, and 13, the Examiner has cited Buchanan in view of Edwards. In particular, the Examiner has acknowledged that Buchanan fails to teach the elements:

- (c) verifying that all records to be loaded match the data management template; and
- (e) compiling a report of records that match the data management template and records that do not match the data management template.

The Examiner has asserted that Edwards teaches elements (c) and (e) above by detecting mismatches between two lists of data items obtained as a result of determining whether proper interconnections are made between the hardwired components of an electronic system.

To rely on a reference under U.S.C. 103, the reference must be analogous art. The applicant contends that Edwards is not analogous art. A person of ordinary skill in the art (of writing data base software) would not have reasonably expected to solve the problem of *verifying that all records to be loaded match a data management template* by considering a reference dealing with *determining whether proper hardware interconnections are made between components of an electronic system*. Further, the teaching in Edwards is of little value to a data base software programmer, since Edwards discloses a validation process involving only the comparison of two simple lists of numerical data [Edwards Fig. 1A, items 160, 170. Also col. 26 lines 60-68]. In contrast, validation in the

applicants' invention, for example, could include eliminating "*the insertion of erroneous data by enforcing business rules/requirements and ensuring that referential integrity, codependency, primary key, required field, default field, sequence number, and hard-coded field checks are met*" [applicants' unamended specification, page 24 lines 4-7]. Applicants further contend that if Edwards is disqualified from consideration as non-analogous art, Buchanan is insufficient to teach all the elements of claims 1, 7, and 13, and a *prima facie* case of obviousness cannot be supported.

Applicants also contend that a *prima facie* case of obviousness has not been supported by the examiner because there is no motivation to combine the two references. There is no suggestion in Buchanan that a data validation process is necessary or desired, since the templates described in Buchanan are utilized only to create documents, and do not serve as templates for storing data in a database. "*Relational databases are used advantageously to manage the document templates and the phrases used to replace variables in the templates for documents generated within document generation system 1*" [Buchanan col. 5, lines 39-42] There is also no motivation to combine the teachings of Edwards because, as argued above, the validation process described in Edwards is inadequate to validate data in the complex data bases as described in Buchanan.

Lastly, the applicants contend that a *prima facie* case of obviousness has not been supported by the Examiner in that all elements of claims 1, 7, and 13 are not taught by the disclosed art. Although not explicitly stated, the Examiner apparently contends that Buchanan teaches elements (a), (b), and (d) of the referenced claims. Specifically:

- (a) receiving a plurality of records to be loaded in a database;
- (b) choosing a data management template corresponding to the records;
- (d) sending the records to a database for loading in the database upon validation that the records match the data management template;

With respect to element (d), Buchanan does not disclose this element since there is no validation process described in Buchanan, and that Buchanan in view of Edwards does not disclose this element.

In view of the arguments presented above, applicants further contend that element (c) is not disclosed in Edwards because the validation process described in Edwards is inadequate to validate data in complex data bases. Since the Examiner has acknowledged that element (c) is not taught in Buchanan, element (c) is not disclosed in either reference, alone or in combination.

Therefore, in light of all the reasoning presented above, applicants respectfully contend that the Examiner has failed to support a *prima facie* case of obviousness and that independent claims 1, 7, and 13 are patentable. Since dependent claims 2-6, 8-12, and 14-18 are dependent claims reporting directly or indirectly to claims 1, 7, and 13, they are also patentable.

With respect to new independent claims 19, 24, and 29, none of the cited art, alone or in combination teaches:

- (a) maintaining a connection between multiple user stations and a server having a database;
- (b) receiving from one of the user stations a plurality of user input data files;
- (c) receiving a plurality of user-selected keywords, wherein data contained within said user input data files is organized around the keywords;
- (d) selecting a data management template corresponding to the keywords;
- (e) validating that all data to be loaded into the database matches the data management template; and,
- (f) loading the validated data into the database.

The applicants assert that new independent claims 19, 24 and 29 are patentable, and all dependent claims 20-23, 25-28, and 30-33 reporting directly or indirectly to claims 19, 24 and 29 are also patentable.

CONCLUSION

Applicants submit that all pending claims are allowable and respectfully requests that a Notice of Allowance be issued in this case. In the event a telephone conversation would expedite the prosecution of this application, the Examiner may reach the undersigned at 650-320-4104. If any fees are due in connection with the filing of this paper, the Commissioner is authorized to charge such fees, including fees for any extension of time, to Deposit Account No. 50-1901 (Reference 60021-340501).

Date: March 10, 2003

Respectfully submitted,

OPPENHEIMER, WOLFF & DONNELLY, LLP

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By: 

Michael K. Bosworth

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CERTIFICATE OF MAILING (37 CFR 1.8(a))

I hereby certify that this paper (along with any papers referred to as being attached or enclosed) is being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on

Date: March 10, 2003

By: 

Donna B. Rose

VERSION WITH MARKINGS TO SHOW CHANGES MADE

IN THE SPECIFICATION:

Please amend the specification as follows:

On page 1, line 1, amend the title to read:

[SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR] ERROR AND LOAD
SUMMARY REPORTING IN A HEALTH CARE SOLUTION ENVIRONMENT

Please amend the paragraph beginning on page 8, line 3:

A system, method and computer program [article of manufacture] are provided for generating error and summary reports for a data load.[First, a]A plurality of records to be loaded in a database are received. The records may include medical records. A data management template corresponding to the records is chosen.[Next i]It is verified that all records to be loaded match the data management template. All or matching records are sent to a database for loading in the database upon validation that the records match the data management template. A report of records that match the data management template and records that do not match the data management template is compiled.

Please insert the following paragraph on page 8, line 23:

In an further aspect of the present invention, a system, method, and computer program for generating error and summary reports for a data load, while storing user input data files in a multi-tier client/server architecture, are provided. A connection between multiple user stations and a server having a database is maintained. A plurality of user input data files is received from one of the user stations, including a plurality of user-selected keywords, wherein data contained within the user

input data files is organized around the keywords. A data management template is selected corresponding to the keywords. All data to be loaded into the database is validated to match the data management template. The validated data is loaded into the database and a report identifying data that match the data management template and data that does not match the data management template is compiled.

IN THE ABSTRACT:

Please amend the Abstract as follows:

Please amend the title to read:

[SYSTEM, METHOD AND ARTICLE OF MANUFACTURE FOR] ERROR AND LOAD
SUMMARY REPORTING IN A HEALTH CARE SOLUTION ENVIRONMENT